



## Announcement of the CDKN International Research Call on Climate Compatible Development

January 2011

Following a phase of consultation and scoping since inception in March 2010, CDKN is now launching its first **pilot** international research call on the following themes:

- **Climate Compatible Development**
- **Agriculture, Food Security and Climate Compatible Development**

Applications are invited for projects with a value of between £100K and £200K. The approximate total budget for the call is £400K. We expect to fund 2-4 projects of 12-24 months' duration, depending on quality of applications and size of funding requested.

The call is launched on Monday 31<sup>st</sup> January 2011. The deadline for submitting completed proposals is **Thursday 31<sup>st</sup> March 2011, 17:00 (GMT+1)**.

**We expect to notify applicants of the outcome of their proposal by 20<sup>th</sup> May 2011. Projects are expected to start within 2 months of contracting and must commence before 1<sup>st</sup> September 2011.**

**Guidance and forms for completion of financial data relating to the proposal will be available on the CDKN website from Monday 7<sup>th</sup> February 2011. This will include a budget template and full costing details.**

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## 1. Background to the call

Research under CDKN is designed to link closely with the [wider goals of CDKN](#) of **assisting developing country governments with expanding understanding and achieving policy changes needed for Climate Compatible Development**. Initial discussions with policy makers reveal that robust, high quality evidence on climate and development is often unavailable in the right format and detail when needed. Through CDKN we aim to address some of the bigger research gaps, listening closely to demands and interests of those who are most in need of this assistance. CDKN funded researchers develop ideas alongside government decision makers to ensure that it is tailored to be useful and informative in addition to being of the highest quality attainable.

CDKN Research Output's guiding principles are to design **high quality research** on climate and development, ensuring that it is '**demand-led**' and **considered a priority by developing country policy makers**. In order to understand the areas under highest current demand in climate and development, CDKN's Research Team compiled evidence of demand for research through analysis of findings and engagements with CDKN between March and November 2010: international meetings of decision-makers, national consultations, ministerial gatherings, research meetings, conferences and analysis of relevant literature.

An internal team of expert advisors to the CDKN Research Call reviewed a scoping report<sup>1</sup> produced by the CDKN Research Team using this analysis. Where there were multiple source requests across the regions (Latin America and the Caribbean, Asia and Africa), questions were grouped into a number of themes for an international research call. The two themes selected for the pilot call were considered of urgent importance and high priority for focus during 2011.

This call is the first of two international research calls to be issued in 2011 by CDKN. A second international research call will be launched in summer 2011 (July/August) on further themes following this pilot, with a value of approximately £700K. The values of the individual projects will be similar, but there will be a wider number of themes. This first pilot call is smaller in order to be more easily manageable for CDKN's research call start-up phase.

'International' calls mean that there are no restrictions on geographical location of research within the call beyond the focus on developing countries. **We support nationally- and regionally-based research in this call, especially where lessons learned can be transferred across countries effectively.**

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<sup>1</sup> The scoping report developed for CDKN is an internal document and is currently not available for external consultation because it will be used as a basis for more than one research call during 2011.

This is in contrast to the CDKN planned regional calls, where specific regions will be highlighted for research focus. A CDKN-funded Regional Pilot research call, focused on South East Asia is due out in February/March 2011. This will be led by [SEI SUMERNET](#) (Sustainable Mekong Research Network).

### **CDKN Research principles**

**Applicants wishing to submit a proposal for CDKN funding should ensure that they are aware of the principles applied to the CDKN Research as these will be used as important evaluation criteria, namely:**

**Excellence and quality:** CDKN focuses on supporting the best quality research in climate change and development, to be produced as scientific journal articles and briefings for non-specialist consumption.

**Response to demand:** well-targeted, accessible and high quality research benefits from having a direct link with policy makers – we aim to integrate the research with policy makers from start to finish to ensure that research is taken up immediately.

**Fostering partnerships and networks:** CDKN fosters relationships between research institutions and actors in the research-policy arena; particularly in assisting development of long term South-North and South-South relationships, training and mentoring<sup>2</sup>.

**Impact:** CDKN will be closely monitoring the impact and uptake of research outputs created through this funding stream, honing and reviewing the funding process on an ongoing basis to ensure greatest productivity, effectiveness and value for money.

**Ethics:** CDKN expects the highest ethical standards of its researchers, and alignment with rigorous ethics policies on research.

## **2. Objective of the call**

The objective of this CDKN January 2011 international research call is **to contribute to the understanding and implementation of climate compatible development in developing countries, particularly for the poorest and most vulnerable in society.**

## **3. Research Questions**

Proposals submitted under the CDKN research call should address:

**Research Theme 1: Climate Compatible Development**

**AND/OR**

**Research Theme 2: Agriculture, Food Security and Climate Compatible Development**

Proposals will be judged on their own merit in relation to the CDKN's research evaluation criteria ([see Section 5.2 for more detail](#)). Awards will be made on this basis – there is no quota of funding available specific to each theme (i.e. we may fund 3 projects on Theme 1 and none on Theme 2 if the proposals for Theme 1 are of higher quality).

Proposals **will** be accepted that combine elements of Research Themes 1 and 2 if there is a strong rationale for this made explicit in the text of the proposal.

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<sup>2</sup> If Northern institutions apply for funding, we expect them to partner with at least one institution based in a developing country in this research, and we will not fund North-North capacity building or research.

### 3.1 Research Theme 1: Climate Compatible Development (CCD)

Most existing development and economic processes will be significantly affected by climate change, either directly or indirectly ([World Development Report 2010](#)). Within the wider area of environmental change, anthropogenic climate change is dynamic and relatively recent, creating complex feedbacks in environmental and social systems. **The impacts of climate change on poverty, well-being and policy processes are not well understood. Climate Compatible Development** is an approach that brings development and climate change adaptation and mitigation into one integrated strategy.

[Maxwell and Mitchell \(2010\)](#) define Climate Compatible Development as “**development that minimises the harm caused by climate impacts, while maximising the many human development opportunities presented by a low emissions, more resilient, future**”.

The possibility of ‘triple wins’ and complementarities between mitigation, adaptation and development raise significant interest amongst developing country government advisors. New terms used to describe revised approaches to development that incorporate climate change with broad or subtle differences include: ‘**climate-smart development**’ ‘**low carbon resilience**’, ‘**climate resilient growth**’ or ‘**low emissions development**’ in addition to **Climate Compatible Development**. Mainstreaming adaptation to climate change and mitigation of climate change into development activities is normally undertaken separately. Mainstreaming mitigation activities into government development policy is largely at much earlier stages than efforts to mainstream adaptation. Integrating both, adaptation and mitigation at the same time through a better planning structure and mobilisation may improve planning and effectiveness of climate change strategies. Most sectors and areas of society need to consider both, adaptation to climate change and possible activities for mitigation of carbon emissions.

Some climate and development specialists suggest that a development approach that integrates adaptation and mitigation into development both theoretically, and in its practical application, might be more effective than ‘single factor’ mainstreaming approaches in creating a low-carbon, resilient society. This needs to be tested through robust empirical research. CDKN has already produced several [briefings on Climate Compatible Development](#) and is funding work on [methodologies and approaches to Climate Compatible Development](#).

CDKN is interested in funding further work on three main areas in this Research Theme:

#### 1.1 Defining Climate Compatible Development (CCD)

- explore how far ‘Climate Compatible Development’ signifies a shift in current theory and practice of development, adaptation and mitigation
- understand how efforts to facilitate Climate Compatible Development will operate at national, regional, international and supranational levels
- develop concrete examples of what climate compatible development might look like in practice and identify existing best-practice examples
- detail possible actions that might assist developing country governments to implement Climate Compatible Development successfully within national economic and social planning sectors and ministries

## 1.2 Understanding limitations to climate compatible development

- explore political, social, environmental and economic limitations to the application and incorporation of CCD into existing approaches and theories of development and economic growth
- explore the role of policy and regulatory frameworks involved in policy shifts on development issues that might affect the adoption of CCD

## 1.3 Understanding how dynamic social vulnerabilities and processes might affect, and be affected by, Climate Compatible Development

- understand how CCD might impact differently across society to existing development, particularly on the vulnerable and/or poor
- advise governments and agencies on how to maximise benefits of CCD for the vulnerable and/or poor

### Projects should contribute to:

- improving understanding of CCD in theory and practice
- determining good practice, innovative models, key success factors and barriers for the implementation of CCD
- formulation of evidence-based policy recommendations and institutional arrangements

**We do not expect one research proposal to cover all of these sub-questions in Research Theme 1.** You may choose to address one or two of the sub-questions if you prefer. You may also combine elements from Themes 1 and 2, if there is a good reason for doing so. We expect projects to be solid, stand-alone pieces that provide theoretical coherence and develop a strong evidence base from primary and secondary research sources in order to address one or more of these sub-questions in a coherent, robust manner.

We welcome a multi-disciplinary, interdisciplinary or trans-disciplinary approach, if appropriate, to the framing of your research. We strongly encourage the selection of one or more country case studies in the course of this research, and justification of this choice in the proposal.

We require researchers to work closely with governments and other relevant groups in the case studies.

We expect the majority of CDKN funded research to be focused in the low or middle income countries of the world. However, where appropriate for the coherence of the research proposed and breadth of comparative analysis, we welcome 'light-touch' study of experiences in high-income countries whenever it may translate into useful insights applicable to developing countries' context.

Researchers may choose to develop these ideas in relation to a national policy approach as a whole, or to a specific sector(s) of choice (e.g. industry, energy) if more appropriate for the coherence of the proposal.

### **PLEASE NOTE: Work already commissioned by CDKN**

CDKN has published [several briefings](#) already on the theme of Climate Compatible Development. A short term research project has begun recently on practical toolkits and methodological approaches to Climate Compatible Development with Ecofys/IDS. See [here](#) for more details.

Proposals submitted for this research would need to ensure that they are complementary to this existing body of work by CDKN (both completed and ongoing) in addition to existing external international research.

### 3.2 Research Theme 2: Agriculture and Global Food Security

**Agriculture and global food security** rank as a top priority for consideration related to **Climate Compatible Development** because they affect the poorest and most vulnerable in many societies.

Agriculture is central to the food security of the world's population. It is also an important sector that might benefit from a strong, early integration of mitigation, adaptation and development efforts. Recent years have seen a renewal in interest in food security and agriculture from the development community, and also from those involved in climate change as the high potential for emissions reduction and impacts of climate change on food security have become better understood. Climate change is named as one of the top drivers of change affecting the food system in the recently-published study of the [Future of Food and Farming](#) (Foresight, 2011).

CDKN is interested in funding work in four main areas in this Research Theme:

#### 2.1 Investigating the degree of uptake of CCD ideas and practices

- Explore how far agriculture and development communities have incorporated climate compatible development, climate resilience and low carbon development in theory and in practice

#### 2.2 Understanding financing in CCD in the agriculture sector

- Assess how international and other financing options can best support Climate Compatible Development of agriculture
- Analyse criteria to guide the eligibility of agriculture to access climate finance for mitigation

#### 2.3 Focusing on poverty processes and implications

- Assess how adaptation and mitigation efforts can best be integrated for the benefit of the poor in agriculture
- Explore how climate change shocks and climate-related policies might affect agricultural prices, yields and wider livelihood security
- Explore implications of climate uncertainty on food security in high-input/low-input and commercial/subsistence agriculture

#### 2.4 Investigating how social, environmental, economic and political limitations and barriers to adoption of CCD of agriculture can be effectively reduced or eliminated

- Explore and define limits to the uptake of CCD in one or more of these areas and propose or develop practical solutions with best practice examples
- Investigate uncertainties and implications of carbon sequestration for CCD

- Assess impacts of new technologies (e.g. improved seed varieties) and improved technologies (e.g. irrigation) on indigenous and traditional approaches to adaptation, and implications for approaches to CCD

Researchers may, if they wish, choose a specific topic focus within the sector when addressing their chosen question(s) within this theme, e.g. energy and agriculture, carbon sequestration, adaptation and resilience. However, we would expect researchers to reflect on the wider framework of Climate Compatible Development with these topics.

**Projects should contribute to:**

- understanding of CCD and agriculture and food security in theory and practice, with a particular sensitivity to poverty and the implications for the poor and/or vulnerable
- determining good practice, innovative models, key success factors and barriers for the implementation of CCD and agriculture and food security
- formulation of evidence-based policy recommendations and institutional arrangements on agriculture and food security

**We do not expect one research proposal to cover all of these sub-questions in Research Theme 2.** You may choose to address one or two of the sub-questions if you prefer. You may combine elements of Themes 1 and 2 if there is a good reason to do so. We would expect projects to be solid, stand-alone pieces that provide theoretical coherence and develop a strong evidence base from primary and secondary research sources in order to address one or more of these questions in a coherent, robust manner.

We expect proposals to build on the body of existing knowledge in this field (and demonstrate knowledge of this at proposal stage), and to focus on the poor and vulnerable in low and middle income countries.

We welcome a multi-disciplinary, interdisciplinary or trans-disciplinary approach, if appropriate to the framing of your research. We strongly encourage a selection of one or more country case studies to be developed in the course of this research, and justification of this selection in the proposal.

We also encourage an approach which works closely with governments and other relevant groups in the case studies chosen. We expect the majority of the CDKN funded research to be focused in the low and middle income countries of the world. However, where appropriate for the coherence of the research proposed and breadth of analysis, we welcome 'light-touch' study of experiences in high-income countries whenever it may translate into useful insights applicable to developing countries' context.

**4. Eligibility criteria**

Both the project and the research organisations must demonstrate their eligibility for funding under the project requirements.

**4.1 Research project eligibility**

- Research projects are to be carried out for a period of minimum 12 and maximum 24 months, anticipated to start between June and September 2011.

- The proposal value should range between £100K and £200K. This is for the amount of total funding requested from CDKN.
- Country case study choices should be supported with evidence from the national government of interest, ongoing work in this area, or direct demand for this research. **CDKN will not provide this evidence – the researchers must supply this evidence in, or with, the proposal.** In the choice of countries, if not low income countries, researchers should explicitly discuss the potential insights applicable to developing country contexts and how they will engage those stakeholders in the course of the research.
- Research grants are intended to facilitate and promote **inter-institutional collaboration**, enhance opportunities for interdisciplinary, multi-disciplinary or trans-disciplinary collaboration, build capacity and encourage North-South and South-South integration.
- **The institutions undertaking research should represent more than one country, with at least one developing country based partner taking a significant role in the research.**
- **Each proposal must be submitted as a joint proposal with a minimum of two eligible institutions, at least one of which must be from a developing country** (including low income and middle income countries), **as defined as any of the countries in the list [here](#).** Organisations which are located in developed countries may apply but should ensure that developing country researchers and research institutions play a **significant role** in their proposed projects.
- We recognise that poverty is prevalent in certain regions of many middle income countries and would welcome research into these areas. Research proposed for middle income countries should include a strong explanation of its focus on poverty and implications for the poor in those countries.
- Case studies may be included from developed countries as part of the research if designed as a 'light-touch' comparative analysis, with the majority of the research effort focused on the developing country case. A strong rationale for inclusion of any developed country comparison should be included in the project proposal.
- CDKN will award funds to the lead institution named on each application, which will then be responsible for the distribution and management of funds to other organisations named on the application as necessary.
- All individuals employed by a UK-based organisation must be named on an application that is led by a UK-based organisation, to ensure UK funds remain in Pounds Sterling and are not subject to unnecessary currency exchange.
- The Principal Investigator (PI) will be expected to act on behalf of the research group as the focal point for contact with the CDKN Research Output.

CDKN will **not** fund: studentships including PhDs, writing up results from previous research or writing books.

## 4.2 Organisation Eligibility

**CDKN will not fund** any of the organisations that form part of its management, or their employees in the research call, under the agreement of CDKN with its funders. This includes: [PricewaterhouseCoopers LLP \(PwC\)](#), [Fundación Futuro Latinoamericano](#), [INTRAC](#), [LEAD International](#), the [Overseas Development Institute](#), and [SouthSouthNorth](#).

Groups entitled to funding include research institutions, universities, private sector organisations, Civil Society Organisations and Non Governmental Organisations.



CDKN will fund organisations that wish to undertake this research **if they satisfy all of the following conditions:**

(1) The organisation must be a legal entity.

(2) The organisation must be able to demonstrate an independent in-house capability to undertake and lead research and training in the field or discipline in which it wishes to be funded. This would normally involve employment of at least three permanent or long term staff, each of whom has 4-6 years postdoctoral research experience or equivalent, and has published research at national and at international level in recognised academic journals. The organisation must also be capable of leading innovative research projects, and providing necessary supervision of junior staff.

(3) The organisation must meet the accountability and audit requirements of CDKN. This requires the organisation to provide, on request, full documentation to give assurance of:

- institutional governance and accountability structure
- audit and accountability procedures
- sources of core funding and other funding

**Organisations that do not meet these requirements may not act as the lead organisation (i.e. as a Principal Investigator) and directly receive funds from the awarding body.** However, they **may** be named as a Co-Investigator, Project Partner or sub-contractor organisation (and receive funds through the lead organisation). Therefore they can participate as one of the group's institutions, but may not be the lead institution on an application.

If the proposal is successful and offered CDKN funding, the lead organisation (i.e. the organisation of the Principal Investigator) on any proposal, will be required to undergo eligibility checks before any funding will be confirmed. Full eligibility checks will be conducted for successful proposals by CDKN's procurement team. These will include checks on research infrastructure, intellectual capacity, critical mass of researchers, institutional governance and accountability structures and audit procedures. If there are complications, delays in this may affect the start date of the research. If you have any questions or concerns about eligibility, you are encouraged to [contact the CDKN](#) in advance of preparing your application. The lead institution will be required to sign the CDKN Terms and Conditions contract, which will be provided when the awards are offered.

## **5. Application Procedure and Evaluation**

### **5.1 Application procedure**

- **The CDKN research call invites full proposals for application by Thursday 31st March 2011 at 17:00 (GMT+1).**
- **Proposals will only be accepted in English, in order to ensure ease of review by our international panel of reviewers.**
- The CDKN Research Call Team will undertake a preliminary filtering of proposals to ensure that they have met the eligibility criteria by 8<sup>th</sup> April 2011.
- Eligible proposals will then be evaluated in a peer-review process involving an international panel of climate and development experts. The panel will consist of between 10-18 experts. Each proposal will be assessed by 2 or 3 experts (variable depending on the volume of proposals received), representing research and policy makers and the geographical regions. Proposals will be assessed using a set of evaluation criteria (see Section 5.2). The panel will meet to discuss the proposals at the end of April 2011.
- The panel will make funding recommendations to the CDKN Research Output by 6<sup>th</sup> May 2011.

- **Final decisions on funding will be taken by 13<sup>th</sup> May by the CEO of CDKN following panel recommendation.** CDKN reserves the right to fund any proposals it sees fit, or to not fund any proposal. However, if such decisions are taken the reasons for this will be made publicly available. The expectation is that the CDKN will follow closely the advice of the independent expert panel.
- **Institutions will be notified of the outcomes by 20<sup>th</sup> May 2011**, when the contracting process will begin. Terms and Conditions will be provided at this stage. Contracting is expected to be completed **by latest end June 2011**, subject to eligibility checks.
- **Applicants** will receive notifications of the outcomes by email. There is no procedure for re-submission of the Research Proposal once a decision has been made as subsequent rounds of research funding will analyse different themes.
- Projects are expected to start within 2 months of the contract commencement (i.e. by **1<sup>st</sup> September 2011 at the latest**). Any research group wishing to start their research after 1<sup>st</sup> September 2011 should contact the [Research Call Secretariat team](#) to discuss this **before the submission date**. Few, if any, exceptions will be made.
- The UK's [Economic and Social Research Council \(ESRC\)](#) has provided advice on the research call to ensure that robust processes are followed as far as possible. However, ESRC are not to be held accountable for any omissions or errors in the content or process of this research call.

*Apart from the submission deadline, all dates may be subject to change depending on numbers of proposals received for processing. Institutions will be notified as soon as possible and definitely before the deadline of any changes to the notification date (20<sup>th</sup> May 2011).*

## 5.2 Evaluation criteria

Expert peer reviewers will assess each proposal. The evaluation will be based on the eight criteria below. Projects will be scored out of 50 marks, with weighting towards the demonstration of scientific excellence and policy impact amongst the other criteria. Proposals scoring less than 5 on either of the first two criteria will not be considered for funding.

	Evaluation Criteria	Detail	Scoring
1	Scientific Excellence and Research Quality	Level of scientific quality of research in climate change and development. Scientific methodology, scoping study and progress beyond the current state-of-the-art knowledge. Degree to which the proposed research applies new, innovative research approaches and/or results in new findings.	10
2	Policy Impact	Evidence of need and likelihood of uptake of research results by policy makers. Level of contribution to understanding and implementation of Climate Compatible Development in developing countries.	10
3	Demand-led	Degree to which the proposed research directly responds to developing country research needs on climate change. Degree to which research is integrated with policy makers throughout duration of the project.	5
4	Research Communication and Dissemination	Degree to which research outputs are likely to be communicated across a variety of publication formats and types, ie. peer reviewed journal articles, policy briefing papers, working papers etc. Level of production of scientific journal articles and targeted briefings for non-specialist audiences.	5

5	Value for Money	Cost of proposed research and value for money considered with relation to its significance and scientific excellence.	5
6	Fostering Partnerships and Networks	Quality, impact, and sustainability of relationships between research institutions and actors in the research-policy area. Degree to which proposed research assists with the development of long-term South-South, South-North relationships. Level and quality of capacity building, training, and mentoring between research partner institutions.	5
7	Relevance to CDKN call	Degree to which researchers show a strong understanding of Climate Compatible Development in theory and practice (NB. applications which fail to show this at all will be rejected)	5
8	Project design	Appropriate project planning tools for monitoring both management and research activities including key milestones and dates that they are expected to be achieved. Risks and assumptions that are likely to affect project implementation and achievement of the outputs and how they are planned to be managed.	5

## 6. Applicants' Guide and form

A detailed CDKN call application guide and the application form for the research proposal can be downloaded here:

- [Proposal Application Guide](#)
- [Proposal Template](#)

Please use the proposal application form as a template for the proposal. Applications will not be accepted in any other format. The word limits and format specifications must be strictly adhered to, otherwise proposals may be disqualified. The application form must be submitted electronically to the CDKN Research Call Secretariat as a Word document or pdf file by **Thursday 31<sup>st</sup> March 2011, 17.00 (GMT+1)** at the following email address: [researchcalljan2011@cdkn.org](mailto:researchcalljan2011@cdkn.org). Late submissions will not be accepted.

## 7. Research Funding Guide

Further issues relevant for the research application are outlined here below

### 7.1 Eligible Costs and Funding Responsibilities

**Guidance and forms for completion of financial data relating to the proposal will be available on the CDKN website from Monday 7<sup>th</sup> February 2011. This will include a budget template and full costing details.**

**All payments for the research grants are to be made in Pounds Sterling, regardless of where the Principal Investigator is based.**

The CDKN accepts **no** responsibility, financial or otherwise, for expenditure or liabilities arising out of the research it funds, other than that specifically covered by the conditions of the grant and which has been incurred during the period covered by it. Any expenditure relating to activities, goods or services incurred **before a grant** is formally awarded, or

**retrospective payments** for such expenditure before an approved starting date of a grant, are the responsibility of the Research Organisation and are ineligible for CDKN funding.

Any expenditure **in excess** of the approved grant Cash Limit, or expenditure incurred **after** the end date of the grant, are also the responsibility of the Research Organisation, and ineligible for CDKN funding. Expenditure properly incurred during the lifetime of a grant, but for which bills or invoices are unavoidably after the end date, **can** be charged to a grant. However expenditure relating to activities, goods or services commissioned during the period but for delivery **after** the end date are **NOT** eligible, and must be the responsibility of the Research Organisation. The CDKN accepts **no** responsibility for any redundancy, severance or compensation payments, for which the Research Organisation may become liable as an employer, unless expressly agreed in writing.

## 7.2 Ethics

The CDKN recognises that it has an important obligation to the general public and academic community to ensure that the research, which it funds is carried out to a high ethical standard. Applicants are expected to outline their approach, aims and methods for maintaining high ethical standards in research in the application following ESRC's [Key Principles of Ethical Research](#). Six key principles of ethical research are outlined below:

1. Research should be designed, reviewed and undertaken to ensure integrity, quality and transparency.
2. Research staff and participants must normally be informed fully about: research purpose, methods, intended possible uses of the research, what their participation in the research entails and what risks, if any, are involved.
3. The confidentiality of information supplied by research participants and the anonymity of respondents must be respected.
4. Research participants must take part voluntarily, free from any coercion.
5. Harm to research participants must be avoided in all instances.
6. The independence of research must be clear, and any conflicts of interest or partiality must be explicit.

### To implement these principles:

- The responsibility for conduct of the research in line with relevant principles rests with the Principal Investigator and the research / employing organisation.
- The responsibility for ensuring that research is subject to appropriate ethics review, approval and monitoring lies with the research organisation seeking or holding an award with the CDKN. This is the research organisation which employs the researchers performing the research, or some of the researchers when it is acting as the co-ordinator for collaborative research involving more than one organisation.
- Research organisations should have clear, transparent, appropriate and effective procedures in place for ethics review, approval and governance whenever it is necessary.
- Risks should be minimised.
- Research should be designed in a way that the dignity and autonomy of research participants is protected and respected at all times. Ethics review should always be *proportionate to the potential risk*, whether this involves primary or secondary data.
- Whilst the secondary use of some datasets may be relatively uncontroversial, and require only light-touch ethics review, *novel use of existing data and especially data linkage*, as well as some uses of administrative and secure data will raise issues of ethics.
- Research involving primary data collection will always raise issues of ethics that must be addressed.

Breaches of good ethics practice in CDKN funded research will be treated seriously. Where these occur, the institution, researchers and Principal Investigator will be called to account and sanctions may apply depending on the severity of the breach. These could result in the immediate suspension of the individual project and other projects based at or under the co-ordination of the contracting institution, and a halt to the consideration of further applications from that institution.

### 7.3 Reporting Frequency

Reporting is expected on a **quarterly** basis to the CDKN Research Project Manager through established reporting procedures and templates. Reporting guidelines and templates will be discussed and agreed at inception stage.

### 7.4 Time off (Maternity/Paternity/Sick Leave)

Research Grant funds may be used to provide paid maternity, paternity and adoption leave only to the extent that it is taken during the original period of the grant. The Research Organisation will be responsible for any liability for maternity, paternity and adoption leave pay for staff supported by the grant outside the original period of the grant. If, for example, a grant ends while a member of research staff is part-way through her maternity leave, the Research Organisation will be responsible for that part of the maternity leave which is taken after the research grant has ended. Where there is a continuous period of sick leave in excess of 3 months, the Research Organisation may apply to the CDKN to discuss the possibility of a substitute appointment to safeguard progress on the project. Where a Research Assistant has been on sick leave in excess of 3 months the Research Organisation must comply with all their obligations to consider reasonable adjustments before making a substitute appointment. Where a Research Assistant has been on sick leave for an aggregate (not necessarily continuous) period in excess of 3 months, due to a single condition or a series of related conditions, the Research Organisation may request an extension to the duration of the project.

### 7.5 Changes to Grants

Research grants provide support for the research proposals submitted by the Applicant and accepted (or modified) by the CDKN. **The research grant is made on the understanding that the CDKN's contribution to the cost will not be increased.** The funds available within any grant may only be applied to meet the objectives and outputs of the grant approved by CDKN, and may not be diverted to any other purpose. Grant-holders may encounter circumstances forcing them to modify their research plans which compromise the prime objectives of the research as approved in the grant. There may also be circumstances where modifications are proposed to take advantage of new opportunities or new technology. In such cases **grant-holders must obtain the prior written approval of the CDKN before the implementation of any modifications.**

### 7.6 Extensions to Grants

CDKN expects that research will be completed in the specified time. As this research is in high demand, it is important that it is completed efficiently. Under very limited circumstances, CDKN may allow extensions (but with no added costs) to the duration of the grant. Grant holders should approach the CDKN Research Project Manager with any questions for discussion on a case-by-case basis.

## 7.7 Changes of PIs and Transfers of Grants between Organisations

The Lead institution must consult the CDKN if it is proposed to change the PI, for example, following retirement or resignation. In such circumstances, the institution may nominate a replacement Grant Holder. The CDKN will wish to be assured that the replacement meets the eligibility criteria and has the expertise and experience to lead the project to a successful conclusion, in accordance with its research objectives.

The Research Organisation must notify the CDKN if the PI intends to transfer to another organisation. If that organisation can demonstrate it is eligible to hold grants, and is able to provide a suitable environment to enable the project to be successfully completed, the expectation is that the grant would be transferred with the PI. Written agreement to this is required from both the relinquishing and receiving organisations before CDKN will approve any such transfer. No transfers can be undertaken without the express, prior, written agreement of CDKN.

The CDKN will wish to be assured that satisfactory arrangements have been agreed that will enable the project to be undertaken, or to continue, in accordance with its research objectives. If suitable arrangements cannot be agreed, the CDKN will consider withdrawing its support or terminating the grant. Where there is a basis for continuing involvement by the relinquishing organisation, agreement should be reached between both organisations on the apportionment of work and the distribution of related funding. Grants will not be re-costed following transfer.

## 7.8 CDKN's Right to Terminate funding

The CDKN reserves the right:

- (i) To revise or amend at any time the conditions of the grant
- (ii) To suspend or terminate a grant at any time.

In reserving these rights the CDKN will, where possible, seek to ensure that in the event of changes or termination, reasonable notice is given to the grant-holder. The minimum notice will be one month. In appropriate cases, the CDKN will consider paying such final instalments as may be necessary to cover outstanding and unavoidable commitment.

## 7.9 Research Data Policy

Data are the main asset of research. CDKN recognises that publicly-funded research data as valuable, long-term resources that, where practical, must be made available for secondary scientific research.

CDKN's Research Data Policy reflects the principles of ESRC's [new research data policy](#). This is built upon the principle adopted by the Organisation for Economic Cooperation and Development. This states that publicly-funded research data are a public good, produced in the public interest and, therefore, should be openly available to a maximum extent possible. CDKN is, therefore, committed to long-term preservation, high quality data management and strengthening the provision for secondary data analysis. We expect award holders to uphold the same values.

We expect successful award holders to generate scientifically robust data ready for further re-use. However, while we strongly advocate further re-use of data we also recognise that some research data are more sensitive than others and argue that it is a responsibility of the award holders to consider all issues related to confidentiality, ethics, security and copyright before initiating the research.

Upon award, CDKN will discuss plans with the award holders for data generation and management on a case-by-case basis.

## 7.10 Legal Issues

For the purposes of this scheme English Law will apply.

## 8. CDKN engagement with Funded Research Projects

### 8.1 Working with CDKN

The research we will commission is central to CDKN's interests. **We think that CDKN and its networks have benefits to bring to this research far beyond the financial value of the grant. We will take an active role in managing the research and engaging with the research groups that win this funding.** We see mutual benefit to regular communications through which we can engage wider networks and partnerships potentially beneficial to the research and policy application of the research.

We will require limited amounts of documentation of the project for our dissemination purposes throughout the course of the project including an initial summary of 250 words and an update where appropriate at key stages of the project. We may invite you to showcase your research project on the CDKN website, which would greatly enhance its international visibility. An 'end of project' report will be completed by the successful institutions within 3 months of project completion. This will include a 250 word summary of research findings which CDKN will use for publicity purposes.

We also require that all publications and presentations would use the CDKN logo to acknowledge funding received from CDKN. A copy of all publications produced for the project should be sent **as soon as possible** to the CDKN Project Manager. Many outputs from this project will have their own external peer review process (such as academic journal articles). Other publications (technical reports, briefing papers, etc.) will need to go through an external peer review process prior to publication and dissemination that will be organised and managed by the CDKN research output using their Roster of Experts.

Research funded by CDKN should acknowledge this funding in all publications, posters, presentations, web-products and other media produced as a result of this award through use of the CDKN logo or other branding types agreed with CDKN. This will raise the profile of CDKN for other researchers or policy makers who may potentially benefit from this initiative.

### 8.2 Monitoring and Evaluation

#### Research Assessment

CDKN will undertake assessment of the research for three reasons:

- To provide an assessment of accountability (i.e. whether public funds were spent as agreed).
- To assess whether the project has been conducted effectively, whether it has met its objectives and to make an early assessment of the quality and impact of the research.
- To provide grant holders with some feedback about the management, quality and rigour of the research, and to provide comments on uses or potential uses of the research.

- To inform the content and direction of any future research investments that the CDKN may make.

For these projects, we will expect you to undertake light-touch **quarterly reporting** in order for us to assess progress and provide informal assistance and guidance. The successful research groups will also need to develop, in collaboration with CDKN, **a set of Monitoring and Evaluation criteria** related to the CDKN Dimensions of Change impact analysis and **a logframe for project objectives to be** developed at inception so we can jointly monitor progress during the project. We also require an impact report to be carried out 12 months after the research has been undertaken. CDKN Research Output staff will work with the researchers to produce this.

## 9 Frequently Asked Questions

This section covers FAQ relating to the call. Please read the full research call documentation closely before asking us questions to ensure we have not already answered them in our documentation. We will be adding to this section on a weekly basis in response to enquiries related to the call.

### 1. Navigation on key documents

**Where can we find information on the Research Call?** Click [here](#).

**Where can we find the Research Proposal Template?** Click [here](#).

**Where can we find information on ethics?** [Section 7.2](#).

**Where is the financial information for the call?**

Financial elements of the call are now published on the website and can be found as part of the [Proposal Template](#).

### 2. Administrative issues

**Who can apply?** See [Section 4](#).

**What institutions are eligible?** See [Section 4](#).

**What institutions are not eligible?** See [Section 4](#).

**Who are CDKN Alliance partners?**

CDKN Alliance partners are those institutions that comprise the core management group of CDKN – [PricewaterhouseCoopers LLP \(PwC\)](#), the Overseas Development Institute, [Fundación Futuro Latinoamericano](#), [INTRAC](#), [LEAD International](#), and [SouthSouthNorth](#).

**What is the application procedure?** See [Section 5](#).

**Is the [Proposal Template](#) also available in Word format?**

Yes, a Word version of the Proposal Template can be found [here](#).

**When is the deadline for submitting proposals?**

The deadline for submitting proposals is 31<sup>st</sup> March 2011, 17:00(GMT+1), sent to the following address: [researchcalljan2011@cdkn.org](mailto:researchcalljan2011@cdkn.org)

**Who is on the decision panel?** See [Section 5](#).

**What is the process following successful application?**

Final decisions on funding will be taken by the CDKN CEO following recommendations by 13<sup>th</sup> May 2011. Institutions will be notified of the outcomes by 20<sup>th</sup> May 2011, when the contracting process will begin, expected to be completed by 30<sup>th</sup> June at the latest, subject to eligibility checks. Projects are expected to start within 2 months of contract commencement (i.e., by 1<sup>st</sup> September 2011 at the latest). See [Application Procedure](#) for more details.

**When will final decisions be made?**

Final decisions on funding will be taken by 13<sup>th</sup> May 2011 by the CEO of CDKN following the expert panel's recommendation.

**When will awards be announced?**

Institutions will be notified of the outcomes by 20<sup>th</sup> May 2011.



### **What is the process following unsuccessful application?**

Unsuccessful applicants will receive a notification of thanks for participation in the call following notification of successful applicants. There is no procedure for improvement and resubmission of the research proposal in place as the research call topics will vary from year to year.

### **If our application is unsuccessful can we re-apply?**

No, there is no procedure for improvement and resubmission of the research proposal in place as the research call topics will vary from year to year.

## 3. Proposal application and evaluation

### **What are the research objectives and what results are expected?**

See Sections [2](#) and [3](#).

### **Is there guidance on how to complete the research proposal/application form?**

See [Section 6](#).

### **How will our proposal be evaluated?**

See [Section 5](#).

### **Can we submit proposals in languages other than English?**

Proposals will be accepted in English only. This is to ensure that peer review can be carried out by our external review panel. CDKN strongly advise applicants to seek proof-reading by a fluent English speaker if English is not their first language.

### **Where can we find guidance on writing the proposal? Click [here](#).**

### **Can CDKN comment on our proposal?**

The CDKN Research Call Secretariat is happy to help on administrative issues and clarifications related to the completion of the proposal and its documentation during the time that the call is open. However, CDKN is unable to comment on the technical details of the proposal during the call phase (e.g. project summaries, research question detail, outputs and budget).

### **Is there a limit in the number of proposals an institution can submit?**

No there is no limit, given the institution and each of the proposals meet the eligibility criteria outlined in [Section 4](#); CDKN, however, would like to emphasise that institutions should not compromise the quality of proposals by submitting more than one proposal.

## 4. Research

### **What are the research objectives? See [Section 2](#).**

### **Are there ethical requirements? See [Section 7.2](#).**

### **Are there restrictions on geographical locations of research? See [Section 4](#).**

### **How long should the research project take, approximately? See [Introduction](#).**

### **Is it possible to change research direction, if expected outcomes do not materialise?**

Any change in research direction must be discussed with the Research Call Secretariat at the earliest possible opportunity. Please contact us by email in the first instance at [researchcalljan2011@cdkn.org](mailto:researchcalljan2011@cdkn.org)

### **When does CDKN expect research to commence?**

Projects are expected to start within 2 months of the contract commencement, i.e., no later than 1<sup>st</sup> September 2011.

### **We cannot start research in the time period that CDKN requires but are still interested in applying for funding. What should we do?**

We expect research funding to be taken up and completed in the time allotted. These are time-bound, relatively short research projects, intended for quick dissemination to policy makers. Please contact the Research Call Secretariat **BEFORE** submitting an application, with a short description outlining the situation and reasons for wishing to delay the uptake of the research grant. If the Secretariat agrees that there is a very strong, valid reason for this delay, your application will be allowed to go forward to the peer review stage. Reasons might include, for example, onset of rainy season in country cases chosen, hindering

primary research. Simultaneous research commitments or conflicting demands on researcher time are NOT a valid reason for delay in uptake. Please do not apply for funding if you do not expect to be able to put your plans into action quickly. **If you do NOT contact CDKN before the submission date**, and wish to delay the uptake of the research grant until after the 1<sup>st</sup> September 2011, **your application will be disqualified at the first stage.**

## 5. Information

### **We still have an unanswered question. Who should we contact?**

Please contact Franziska Schwarz in the Research Call Secretariat on [researchcalljan2011@cdkn.org](mailto:researchcalljan2011@cdkn.org)

### **We want clarification on the meaning of an aspect of the research call documentation. Who should we contact?**

Please contact Franziska Schwarz in the Research Call Secretariat on [researchcalljan2011@cdkn.org](mailto:researchcalljan2011@cdkn.org)

**What is the complaints procedure?** See [Section 10](#).

### **Where can we provide feedback?**

CDKN welcome your feedback on any aspect of the call. Please send your comments to Franziska Schwarz at [researchcalljan2011@cdkn.org](mailto:researchcalljan2011@cdkn.org)

## 10. Comments, Complaints and Feedback

### 10.1 Comments on research process

We aim to make this process as easy as possible for potential researchers as we work on refining our research call process through this pilot. We appreciate feedback on the research call process, including any comments about ease or difficulty of usability, or any mistakes or omissions that you have noted. We'd particularly appreciate any feedback on the structure of the budget to gauge how easy/difficult it is for different types of institutions to work with this budget structure provided.

Please send any comments to [researchcalljan2011@cdkn.org](mailto:researchcalljan2011@cdkn.org) with **Feedback** in the subject title.

### 10.2 Complaints procedure

The CDKN is committed to high standards of service in all its operations. Despite this we recognise that things can go wrong. Some individuals and institutions may wish to share comments, complaints and ideas relating to CDKN policies and procedures.

- (i) Formal complaints should be directed in writing, by post or electronically to [Dr Natasha Grist](#), Head of Research in CDKN, who will aim to acknowledge receipt of the complaint and/or seek clarification within **five** working days.
- (ii) Any comments relating to your application and the administrative handling of your proposal or award should be directed to Dr Natasha Grist, who will refer the matter to the relevant team members or to CEO Sam Bickersteth in the event of non-resolution.
- (iii) To help us deal with any comment or dissatisfaction promptly it would be helpful if you could provide the following information in your communication with us:
  - The name of the CDKN staff involved (if known)
  - A clear description of the content of the issue

- An indication whether this is a first complaint or a follow up to an earlier complaint which has not been resolved satisfactorily
  - Copies of or links to any relevant documentation (e.g. emails/proposals) to help us to cross-reference in our data systems
- (iv) All complaints will be investigated, and we aim to resolve the issue as swiftly as possible.
- (v) We will aim to provide a full response within 15 working days. Where a full response is not possible within that timescale, a letter will be sent outlining progress towards a response and setting a target, usually within a further 15 working days by which a full response will be made.
- (vi) **Complaints may relate to a perceived:**
- Failure to follow stated policies or procedures
  - Unreasonable delay or inefficiency in responding to an enquiry or operating our procedures
  - Unhelpful or insensitive attitude of a member of the CDKN Alliance during interactions relating to the research call

Please note that the following types of complaints are excluded from this procedure:

- Complaints which involve a disagreement with a decision of CDKN or its panels or other advisory groups
- Matters which are the subject of litigation or legal proceedings